

Return on Investment (ROI) Program Funding Application

Contact Information:

Date:	7/17/2006
Agency Name:	Iowa Homeland Security and Emergency Management (HLSEM)
Project Name:	Living Disaster Recovery Planning System (LDRPS)
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Executive Sponsor:	David Miller, HLSEM Administrator

Amount of Funding Requested: \$499,200

Purpose of Application

The Iowa Department of Public Defense, Homeland Security and Emergency Management Division (HLSEM), seeks ROI Program Funding to support a portion of program costs associated with a disaster plan management software tool already being used in state government. The amount requested will be used for continuing technical support and enterprise wide implementation of the tool for emergency preparedness.

Section I: Project Description:

STROHL Systems' Living Disaster and Recovery Planning System (LDRPS) software tool is Iowa's newest best practice for the development and maintenance of enterprise wide Continuity of Operations (COOP) and Continuity of Government (COG) plans. The purpose of COOP and COG, also known as business or organizational continuity planning, is to identify how an organization will be able to either maintain or quickly resume their essential functions or critical services.

The decision of HLSEM to move toward the LDRPS management tool for statewide continuity planning comes from its successful, yet ongoing, implementation in the Iowa Department of Human Services and favorable results from a detailed review and analysis of the software by multiple state agencies, in consideration of its application to specific agency needs. Based on this review, HLSEM and the LDRPS Management Group (described later in this application) are in the process of developing a plan for the implementation of this management tool for enterprise wide continuity planning.

Agency specific implementation of the LDRPS software will be facilitated through guidance from HLSEM, with its emergency management oversight responsibilities, and through agency representation on the LDRPS Management Group. Existing continuity plans throughout the enterprise will be migrated into LDRPS with subsequent maintenance and enhancements occurring through direct agency-level interface with the plan management tool.

Full implementation of this software and the movement of enterprise wide continuity plans from MS Word documents to LDRPS will occur in State Fiscal Year 2007 and 2008. In Fiscal Year 2009 and beyond, software licensing and program technical support will be renewed with the ongoing development, maintenance, and enhancement of continuity plans across all state agencies.

In FY08, the priority needs for technology dollars through the ROI Program is technical support for LDRPS administration and technical assistance to state agencies for training on the LDRPS tool. LDRPS administration and technical assistance is currently supported by IDHS, however, this agency is unable, nor is expected to, support statewide implementation of LDRPS through its annual operating budget. IDHS has already invested approximately \$250,000 toward this project with an additional \$55,000 contribution from DAS. Additional state funding is necessary to ensure the successful implementation of LDRPS across state government.

Technology Used and Integration with Agency and Enterprise Wide Standards

LDRPS is not housed or maintained by HLSEM. IDHS houses the software on the ITE Data Warehouse and users access it via an Internet connection. This tool is tested within the state's technology infrastructure and is compatible. Please refer to the attachment named *LDRPS System Requirements* for a further understanding of its fit with current technology standards.

Agency Strategic Plan

This project is tied directly to the Iowa Strategy for Homeland Security and Emergency Management, 2006-2008:

"Objective 2.1: Ensure critical infrastructure is protected in the State of Iowa."

"Objective 2.2: Ensure that contingency plans are in place for continuity of government, operations and private sector functions at all levels to sustain critical services and programs in the event of an emergency."

State Strategic Plan

This project is tied directly to the Enterprise Strategic Plan by supporting the value of security and through the improvement of government accountability and infrastructure, in particular, reinventing Iowa government to provide better services at less cost and investing to maximize productivity and minimize life cycle costs.

Governor's Leadership Agenda

Successful enterprise wide implementation of LDRPS has a direct link to the economic development aspects of the Governor's Leadership Agenda. This software represents a strategy in fulfilling the HLSEM mission to, "Lead, coordinate and support homeland security and emergency management functions in order to establish sustainable communities and ensure economic opportunities for Iowa and its citizens," in direct support of the leadership agenda.

Enterprise Wide or Multi-Agency Agenda

During Quarter 1 of SFY 2007, HLSEM will be notifying Executive Branch directors and agency COOP COG coordinators of the requirement to use LDRPS for the development and maintenance of statewide continuity plans. Current partners in the use of this software include the departments of Human Services (IDHS), Administrative Services (DAS), Transportation (IDOT), Natural Resources (IDNR), and the Iowa Homeland Security and Emergency Management Division (HLSEM). These agencies have voluntarily chosen to use LDRPS because of its advantages. Additional agencies have shown strong interest prior to the formal implementation of the software, including Iowa Workforce Development, Public Health, and the Iowa National Guard.

Section II: Expected Results

Impact on Citizens

The purpose of Continuity of Operations (COOP) and Continuity of Government (COG) planning is to ensure survival of a constitutional form of government and the continuity of essential state functions under all circumstances. Iowa's citizens should expect to receive and state agencies must be prepared to deliver essential services to citizens and customers regardless of situation or circumstance. Enterprise wide implementation of LDRPS will result in a timely and orderly approach by state agencies to the prioritization, continuation, and/or restoration of essential services during and/or after an event that threatens the delivery of those services our citizens depend on and expect.

Impact on Other Agencies

Every agency, commission, or board in state government has a distinct mission, or charge, as laid out by the Constitution of Iowa, Iowa Code, Executive Order, or other directive. The essential services these agencies conduct are a direct extension of the goals and objectives laid out through agency level strategic planning in order to successfully achieve their missions. Enterprise wide implementation of LDRPS will make it easier for COOP/COG coordinators to manage their agency's continuity planning programs by providing an efficient tool for the inventory, collection, organization, and distribution of their continuity plans as they relate to these essential services.

Another positive impact of the successful implementation of LDRPS is making the responsibility of continuity planning easier for COOP COG coordinators through the template and menu structure provided within the software. The technical assistance this application proposes will assist in the smooth transition of agency plans from MS Word to LDRPS and ease the burden of COOP COG coordinators from independently experiencing the learning curve associated with the use of any new software program.

Impact on Department Staff

Benefiting other agencies in the same way, the LDRPS software enhances the access COOP/COG personnel have to up-to-date plans, standard operating procedures, and emergency response checklists (aka, the latest information at their fingertips). HLSEM will also benefit from the positive impacts to other agencies as described above.

Additionally, ongoing technical and implementation support for LDRPS will assist HLSEM implement a comprehensive and effective program to ensure the continuity of operations of statewide government before, during, and after disaster situations which affect state government and the provision of essential services.

Number of Users

COOP COG personnel in each agency vary depending on its scope of responsibilities, or the number and complexity of its essential services. No less than one user would exist in the smallest Executive Branch offices or commissions, while multiple users could easily be assigned LDRPS access in each of the state's largest agencies. Enterprise wide, the total number of state personnel using LDRPS may reach into the hundreds.

User Participation in Project Development

Users will directly participate in the enterprise wide development and implementation of this plan management tool as laid out in the *LDRPS Management Group Charter* (Attached). This charter, under development for the last year and originally developed by IDHS, has already benefited from input from IDHS, HLSEM, IDOT, IWD, DAS, and IDNR. Every Executive Branch agency will be represented on either the LDRPS Steering Committee, commonly referred to as the LDRPS Management Group, or the associated Core Support Team. The Charter describes the interaction between the management group and support team and addresses the expectations of participation from all users of LDRPS.

The purpose of the LDRPS Management Group Charter can be generally described by the following excerpts from the document:

"...to establish a statewide government structure for use of the Living Disaster Recovery Planning System (LDRPS) from STROHL System's Inc..."

"...This charter is being developed to ensure access to LDRPS for all agencies as a planning and resource tool for disaster preparedness, response planning and operations, and to foster the development of standardized system protocols, terminology, and definitions, which will help manage use of LDRPS, and maximize its benefits to all users."

User Benefits from Availability

Please refer to the descriptions of how this proposal will impact department and other agency staff.

Project Assistance in Meeting Mandates

Statewide implementation of LDRPS will assist agencies maintain compliance with the requirements set forth in State of Iowa Executive Order 40, which specifies:

"...all Iowa State executive branch agencies, in collaboration with the Homeland Security and Emergency Management Division of the Iowa Department of Public Defense, shall prepare a Continuity of Operations and a Continuity of Government plan to ensure the State's ability to deliver essential services under any circumstance."

Homeland Security Presidential Directives 3, 5 and 7, as well as Federal Preparedness Circular 65 and National Response Plan, 9230, require the establishment and implementation of COOP and COG planning.

Iowa Code chapter 29C requires the HLSEM Administrator to administer emergency planning matters and prepare a comprehensive plan and emergency management program for homeland security, disaster preparedness, response, recovery, mitigation, emergency operation and emergency resource management for the state.

Compliance with Technology standards

LDRPS is in compliance and is consistent with statewide technology standards within both its system requirements and current location with the state IT system. The software is a Web based application that is accessible anytime from anywhere and provides the flexibility needed in the time of a disaster. LDRPS is currently installed on _____ and the

information entered into the software tool by state agencies is currently stored in the ITE Enterprise Data Warehouse. For further information, please see the attached *LDRPS System Requirements*.

Health, Safety, or Security Requirements

Enterprise wide implementation of LDRPS will assist state agencies adhere to the tenants set forth in Iowa Code 22.7 (Confidential Records). The content of continuity plans across state government contains information that is directly applicable to the language in Iowa's confidential records law. This code concerns security procedures or emergency preparedness information developed and maintained by a government body for the protection of employees, visitors, persons, or property in the care, custody, or under the control of the government body, if such disclosure could reasonably be expected to jeopardize such employees, visitors, persons, or property. Information contained in continuity plans is related to vulnerability assessments, security measures, and information contained in records that if disclosed would significantly increase the vulnerability of critical physical systems or infrastructures of state government.

LDRPS is a secure program that requires users to access information by obtaining a user name and password. In addition, an auditing feature within the software tracks when users enter the system, for how long they are logged in, and what information was accessed. This system will also serve as the primary secure storage location for agency plans, rather than relying on individual agencies to secure their continuity information.

Affect of Completion on Agency Processes

LDRPS allows for the streamlined update of continuity plans for all agencies. This happens through the centralization of statewide employee, building, and vendor data and lessens the manual processes for tracking and updating. The software also allows for remote access to plans via an internet connection thus increasing flexibility in the geography extent of users. Another benefit of LDRPS is the built-in process enhancements for plan management and maintenance, automated notifications, and the distribution of the plans to agency users. This process allows for an increased awareness of plan details throughout the organization, which increases disaster preparedness. By using this software product, there is no longer the need to distribute updated hard copies of the plan to many different employees. A simple login is all they need to access critical details of the plan. This software tool allows for a centralized repository for plans for each agency, and throughout state government. All gathered supporting documentation can be kept in the same place and all COOP COG personnel have access to the same version of documents at the same time.

Please refer to the Impact on Other Agencies and Impact on Department Staff sections above for additional affects on agency processes.

Section III: Financial Analysis

Estimated Project Costs and Funding Sources

Table One: Estimated Project Cost	FY08	FY09	FY10	FY11	FY12
Development and Implementation Costs	\$332,800	\$0	\$0	\$0	\$0
Recurring Costs	\$166,400	\$328,400	\$166,400	\$166,400	\$166,400
Total Costs	\$499,200	\$328,400	\$166,400	\$166,400	\$166,400

Dollar amounts included for development and implementation costs represent estimated contract personnel expenses of \$332,800. This dollar amount represents two technical assistance positions for the purpose of training state agency COOP COG personnel on LDRPS and assistance to agencies in migrating plans and data into LDRPS. These positions are expected to cost around \$80 per hour based on existing costs. By June 30, 2008, or the end of FY08, it is expected that all agencies will be trained and migration of plans complete with no need for funding in FY09 and beyond.

Recurring annual costs of \$166,400 for FY08 through FY12 represent one software administration position. Currently, this position is contracted for around \$80 per hour. The goal is to have general fund dollars secured by FY09 to support a full-time state position for a software administrator, but a more conservative estimate of FY10 funding for this position is provided in Table Two.

Beyond the need for personnel support, in Quarter 3 FY09 the software license and STROHL technical support for LDRPS expires. The renewal cost is estimated at \$162,000, derived from the original license and technical support costs plus 10 percent to account for expected price increases. Ideally, this cost will be covered by the state general fund in the near future; however, it is shown in Table Two as a Pooled Technology Fund project application in FY09.

Table Two: Percentage of Costs From...	FY08	FY09	FY10	FY11	FY12
General Fund	0	0	100	100	100
Federal or other funding	0	0	0	0	0
Pooled Technology Fund	100	100	0	0	0

This project will rely on state funding for its development and implementation as well the costs to sustain it. HLSEM's annual operating budget consists of 75 percent Federal funds and 25 percent state funds. Federal funds available for emergency management in any given year depends on the approved federal budget and resulting program allocations, thus are not a predictable form of funding for ongoing projects. As shown in Table Two, no Federal funds are expected to be available to support this project. Of the annual state funds provided to HLSEM, the entire 25 percent is dedicated to matching Federal grants, resulting in a difficult situation for HLSEM to financially support any enterprise wide project.

Estimated Cost Reductions

Table Three: Projected Expense Reduction	FY08	FY09	FY10	FY11	FY12
For Requesting Agency	\$1,005	\$2,375	\$2,375	\$2,375	\$2,375
For Other State Agencies	\$337,345	\$400,384	\$400,384	\$400,384	\$400,384
TOTAL Cost Reductions	\$338,350	\$402,759	\$402,759	\$402,759	\$402,759

Projected expense reductions as shown in Table Three only reflect reductions from using LDRPS associated with COOP COG personnel. Due to the enterprise wide focus of this project application, it was not realistic to have each state agencies develop independent projected expense reductions for equipment, printing, etc. in the given time to complete the application.

The basis of the methodology is that LDRPS reduces the time agency personnel need to do plan maintenance and notifications. For FY08 through FY12, HLSEM time savings were calculated and a dollar amount derived. The average hourly wage of \$22.84 for an Executive Branch employee (from the DAS publication *Just the Facts for 2005*) was used in all calculations. The savings HLSEM enjoyed were assumed to apply to all other state agencies proportionately to the number of employees in the agency, up to a cap of 15 times where existing economies of scale benefits are expected to level off potential savings. The

attached MS Excel workbook *ROI Tables Version FY08* includes the worksheets used in deriving the expense reductions.

Projected expense reductions are lower in FY08 than future years because the time savings associated with using LDRPS are partially offset by the on-time increase in staff time necessary to migrate continuity plans into the plan management tool. It is assumed that agencies will require an average of 60 hours to completely move plans into LDRPS.

Other Benefits

Overall, aside from the direct savings from personnel as depicted in the tables above, it is challenging to explain all the benefits from LDRPS because it serves to house plans that the state would benefit the most by never using. And even if the state activates the continuity plans, it is ultimately not about reducing expenditures, but rather limiting losses.

Where LDRPS pays off the most is by enhancing the process by which COOP COG personnel can respond to an event which compromises critical services within government or to the state as a whole. The faster essential services are maintained or restored, the greater the return on investment for LDRPS. In effect, an investment in LDRPS is an insurance policy, and based on the conservative estimates in the tables above, between FY08 and FY12, supporting this policy now will generate a direct savings of over \$622,000, aside from its benefits to reduce the impact of actual emergency events impacting state government.

Below are a couple of scenarios that describe the importance of a tool like LDRPS providing enhanced access to information needed in a disaster event:

- If IDHS were to lose its network, and the 5,300 personnel the agency employs were to be idled for one hour, the equivalent loss in productive time of one full-time equivalent employee would be 2.5 years. This relates to a lost productivity cost of just under \$120,000, using only hourly take-home pay. Because of the availability of plans in LDRPS and the ease of extracting information, the use of this software may result in a 50 percent reduction in response time, which would equate to an immediate reduction of losses by \$60,000.
- If a disaster event or other situation would render the Capitol Complex and its buildings off limits to personnel for one weekday, the loss in productivity would be nearly \$900,000. Losing the use of just one building on the Capitol Complex for a day, such as the Hoover Building, results in \$206,000 in lost productivity for the 1,100 personnel who normally work there. LDRPS provides the accessibility and organization needed to respond quickly to events which results in the reduction of down time and significant reduction of losses.

Resources, such as people, knowledge, time, and documentation can all be more efficient with a plan management tool such as LDRPS. Saving time and increasing the efficiency of valuable resources inevitably saves the state money. Saving time, increasing preparedness, adopting efficient communication strategies, and fostering ease of proper documentation are all examples of soft dollar savings.

Of other significance, in July 2006, STROHL Systems, the developer of LDRPS, announced its merger with ESi, developer of WebEOC. WebEOC is Web based software and serves as the emergency response management tool used in the State Emergency Operations Center by all agencies responding to emergency events. STROHL Systems stated their intentions of integrating the plan management functionality and capability of LDRPS with the response management resources of WebEOC. This development emphasizes the importance of moving enterprise wide continuity plans into the LDRPS environment for the enhancement

of statewide emergency response and ability to maximize the full functionality once the software programs are integrated.

The flexibility of LDRPS makes it an attractive candidate for other uses in emergency management planning. In addition to the interest state IT personnel have in entering their technology recovery plans into LDRPS, HLSEM is looking at how this plan management tool may be useful for other statewide emergency plans.

Estimated Return On Investment (ROI)

Table Four: Calculated Estimate ROI	FY08	FY09	FY10	FY11	FY12
For Requesting Agency	\$499,200	\$328,400	\$166,400	\$166,400	\$166,400
For Other State Agencies	\$338,350	\$402,759	\$402,759	\$402,759	\$402,759
TOTAL Cost Reductions	-\$160,850	\$74,359	\$236,359	\$236,359	\$236,359

Section IV: Auditable Outcome Measures

For each of the following categories, list the auditable metrics for success after implementation and identify how they will be measured.

Improved customer service

The single largest measurable benefit to supporting the HLSEM use of LDRPS is that through this work, state agencies will be able to better plan how to maintain and/or restore essential functions and critical services prior to, during and after a disaster or any situation where normal operating functions are compromised. This will be measured on an agency-by-agency basis as each agency works with HLSEM to review and update their plans. Both internal and external customer service will be measured by this improved system of planning.

Citizen impact

Through the unified storage and management of multiple state agency plans, HLSEM's use of LDRPS will help to ensure the State of Iowa provides essential functions and critical services to the public. Through having a single location for the storage of and access to plans, state agencies will be able to more quickly and efficiently maintain the needed level of services to the citizens of Iowa. Effectiveness of this would be best measured through post incident reports on how well essential functions and critical services were maintained during each particular incident. For example when the River Hills fire affected the DHS Child Support Collections and Customer Service Center many clients were concerned that they would not get their checks in a timely manner. Those who depended on the checks to pay bills would have been severely impacted. Because quick action was taken to get the unit up and running at another location, at the most, some clients experienced a delay of several days instead of several weeks for their checks

Cost Savings

Savings will be in no longer having to reproduce paper copies of the plans and mailing/shipping costs. For example if it costs \$600 to print 100 copies of a plan, then \$600 will be saved in printing costs alone, not to mention the cost of binders and delivery. Instead of printing, the elements of COOP/COG information will be accessible via a secure internet and only the information that is needed by an individual may be printed as needed.

Over the long run, fewer planning hours will need to be dedicated to just COOP/COG planning because of the uniform format of entering data.

Project reengineering

Because COOP/COG is mandated by state and federal levels, this system answers the need for software that collects uniform information and puts it in a useable format. The STROLS LDRPS offers a better way of compiling the information needed for planning. Digitizing information is the new way to do business and paper plan development is quickly becoming outdated.

Tangible/Intangible benefits

Once the learning curve for using the STROLS tool is passed, the benefits will be an easier and uniform way to accomplish continuity planning. Again, the measure of success will be in reduction of man-hours needed to review, revise and update plans as have been done in the past. The new STROLS tool will automatically remind the planner of specific needed updates when they need to be updated. It is a system that has been around for a while and it is expected to continue to be supported and upgraded into the future. It will not be necessary to invest or convert to another system as often happens when a system goes away. The parent company of STROLS also owns the Web EOC software that we are currently using to run our Emergency Operations and compatibility is one of the expected benefits.

Enclosure One, Financial Analysis Spreadsheet to Return on Investment (ROI) Program Funding Application

Agency Name:
Application Name:

Table One: Estimated Project Cost

	FY08	FY09	FY10	FY11	FY12
Development and Implementation Costs	\$332,800	\$0	\$0	\$0	\$0
Recurring Costs	\$166,400	\$328,400	\$166,400	\$166,400	\$166,400
Total Costs	\$499,200	\$328,400	\$166,400	\$166,400	\$166,400

Table Two: Percentage of Costs From

	FY08	FY09	FY10	FY11	FY12
General Fund	0	0	100	100	100
Federal or other funding	0	0	0	0	0
Pooled Technology Fund	100	100	0	0	0

Table Three: Projected Reduction in Expense

	FY08	FY09	FY10	FY11	FY12
For Requesting Agency	\$1,005	\$2,375	\$2,375	\$2,375	\$2,375
For Other State Agencies	\$337,345	\$400,384	\$400,384	\$400,384	\$400,384
TOTAL Cost Reductions	\$338,350	\$402,759	\$402,759	\$402,759	\$402,759

Table Four: Calculated Estimated Return on Investment

	FY08	FY09	FY10	FY11	FY12
Total projected cost from table one	\$499,200	\$328,400	\$166,400	\$166,400	\$166,400
Total projected cost reductions from table three	\$338,350	\$402,759	\$402,759	\$402,759	\$402,759
Projected Net Benefit to the State of Iowa	-\$160,850	\$74,359	\$236,359	\$236,359	\$236,359



LDRPS

LDRPS 10 **New**

LDRPS 9.1

Online Demo **New**

Customer Testimonials

System Requirements

NotiFind

BIA Professional

Incident Manager

PLANet for
Community BanksPLANet for
Credit Unions

Business Continuity Software: LDRPS: System Requirements

LDRPS 9.1 Workstation (EZ, PLUS, LAN, Client Server)

[Certified platforms](#)
[Certified browsers](#)
[Hardware requirements](#)
[Discontinued Software support](#)

LDRPS 9.1 Web Server

[Certified platforms](#)
[Supported browsers](#)
[Web Server requirements](#)
[LDRPS Web 9.1 Print Server requirements](#)
[Database Server requirements](#)
[ODBC/Driver requirements](#)
[Discontinued Software support](#)

LDRPS 10 On Demand

[Client Workstation Requirements](#)

* See Support Expiration under Discontinued Software Support.

LDRPS 9.1 Workstation EZ, PLUS, LAN, Client Server

Certified Platforms

Microsoft Windows 2000 Professional SP3 (English OS only)

Microsoft Windows 2000 Server SP3 (English OS only)

Microsoft Windows XP SP2 (English OS only)

Microsoft Windows XP SP1 (English OS only)

Microsoft Windows 2003 Server (English OS only)

Microsoft Windows 2003 Server SP1 (English OS only)

Certified Browsers

Internet Explorer	6.0 SP1
	5.5 SP2
	5.0.1 SP2

Hardware Requirements

Pentium III 600 MHz

256 MB of RAM

A hard disk with 500MB of free space

A CD-ROM drive

VGA (800X600), 16-bit colors, small fonts

LDRPS 9.1 Web Server

Certified Platforms

Microsoft Windows 2000 Server SP3 w/IIS 5.0 (English OS only)

PLAN. PRACTICE. PREPARE.



"I thought LDRPS 10 was very exciting. I think that it will take training for the end users and be easier for them to use the product. I think that it is going to really make our jobs easier."

- Edward Gregory, DePaul University

Related Links

- LDRPS Essential Overview
- LDRPS Professional On Demand Overview
- Continuity Case Studies
- LDRPS Plan Template
- LDRPS vs. Word Processing Software
- LDRPS 9.1 Overview
- LDRPS Hosted Solutions
- Establishing and Using LDRPS in Global Corporations

LDRPS
The New Direction in Planning

Microsoft Windows 2000 Server SP4 w/IIS 5.0 (English OS only)

Microsoft Windows 2003 Server w/IIS 6.0 (English OS only)

Microsoft Windows 2003 Server SP1 w/IIS 6.0 (English OS only)

Certified Browsers

Internet Explorer	6.0 SP1
	5.5 SP2
	5.0.1 SP2

Hardware Requirements

Dedicated server for the sole purpose of LDRPS Web

A hard disk with 500MB of free space

A CD-ROM drive

VGA (800X600), 16-bit colors, small fonts

Concurrent Users	CPU	Memory
10	P4 1.7 GHz	768 MB
15	Dual P4 1.7 GHz	896 MB
20	Dual P4 1.7 GHz	1024 MB
25	Dual P4 1.7 GHz	1152 MB
30	Dual P4 1.7 GHz	1280 MB
35	Dual P4 1.7 GHz	1536 MB
40	Quad Xeon 2.1 GHz	1792 MB
45	Quad Xeon 2.1 GHz	2048 MB
50	Quad Xeon 2.1 GHz	2304 MB
75	Quad Xeon 2.1 GHz	3584 MB
100	Quad Xeon 2.1 GHz	4864 MB

LDRPS Web 9.1 Print Server

Concurrent Users	CPU	Memory
10 -25	P4 1.2GHz	768 MB
26 - 50	P4 2.1 GHz	1536 MB
50 - 100	Dual P4 2.1 GHz	2304 MB

LDRPS 9.1 Database Server

Concurrent Users	CPU	Memory
10	Dual P4 1.2 GHz	384 MB
15	Dual P4 1.2 GHz	512 MB
20	Dual P4 1.2 GHz	640 MB
25	Dual P4 1.2 GHz	768 MB
30	Dual P4 1.2 GHz	896 MB
35	Dual P4 1.2 GHz	1024 MB
40	Quad Xeon 1.5 GHz	1152 MB
45	Quad Xeon 1.5 GHz	1280 MB
50	Quad Xeon 1.5 GHz	1536 MB
75	Quad Xeon 1.7 GHz	2304 MB

LDRPS Web 9.1 ODBC Client/Drivers

Database	Database Client	Database Driver
SQL Server 2000	MDAC 2.7 SP1	2000.81.9031.38
SQL Server 2000	MDAC 2.8	2000.85.1022.0
Oracle 9.2.0.1.0	9.0.1.1.1	9.0.1.7.0
Oracle 9.2.0.1.0	9.0.1.1.1	9.0.1.8.0

No longer supported as of 3/30/2004**Platforms**

- * Microsoft Windows 98 SE (English OS only)
- * Microsoft Windows 95 SR2.5 (English OS only)
- * Microsoft Windows NT 4.0 Workstation SP6a (English OS only)
- * Microsoft Windows NT 4.0 Server SP6a w/IIS 4.0 (English OS only)

Browsers

- * Netscape All Versions

LDRPS 10 On Demand**Client Workstation Requirements**

Microsoft Windows XP SP2 (English OS only)

Internet Explorer 6.0 SP1 or above

Pentium IV 1.5 GHz

512 MB of RAM

100 MB free Disk space for No-Touch clients

IOWA
Living Disaster Recovery
Planning System
Management Group
Charter
Version 2.0

Draft 06/28/06

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CHARTER DOCUMENT REVISION RECORD					
<i>Version or Change #</i>	<i>Section(s) Changed</i>	<i>*Type of Change</i>	<i>Date of Change</i>	<i>Changed by</i>	<i>Change Authorized/ Approved by</i>
Original			8-18-05	Alesia Trask	
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V 1.4	1.1 Purpose, 1.2 LDRPS Capabilities 4.1 Goals 2.3 (Leadership and Voting)	A, D, S	11-16-05	Bill Gardam, RJ Droll	
V1.5		D	11-17-05	RJ Droll	
V 2.0		A, D, S	5-23-06	RJ Droll, Adam Broughton, Ken Brink	
<p>* A = Added material, D = Deleted material, S = Substituted material, N/A = Not applicable</p>					

Charter Approved By:

Steve Mosena, Chief Information Officer, Iowa Department of Human Services
LDRPS Management Group Co-Sponsor

Greg Fay, Chief Information Security Officer
LDRPS Management Group Co-Sponsor

1 Introduction

1.1 **Mission Statement**

To provide State of Iowa agencies with an effective means of maintaining their continuity of operations (COOP) and continuity of government (COG) plans, ensuring their ability to provide safety for their employees, and the delivery essential services to the citizens of Iowa in the event of an emergency, requiring the activation of the plans.

1.2 **Purpose**

The purpose of this charter is to establish a statewide government structure for use of the Living Disaster Recovery Planning System (LDRPS) from Strohl System's Inc. Use of LDRPS will serve to allow State of Iowa agencies to effectively manage and maintain continuity plans, the completion and maintenance of which are mandated by Executive Order Number Forty, and ensure the survival of a constitutional form of government and the continuity of essential state services under all circumstances.

This charter is being developed to ensure access to LDRPS for all agencies as a planning and resource tool for disaster preparedness, response planning and operations, and to foster the development of standardized system protocols, terminology, and definitions, which will help manage use of LDRPS, and maximize its benefits to all users.

This charter may be revised to reflect changes in the scope or nature of the group's activities, and/or planning operations as mandated throughout the state. This ensures this document will continue to be a valid definition of the agreement between all Iowa agencies participating within the LDRPS Management Group.

1.3 **Authorization**

Executive Order Number Forty and the Iowa Code both require comprehensive continuity of operations planning. In addition, the Iowa Severe Weather and Emergency Evacuation Policy, adopted December 2001, states: *"It is the Governor's philosophy that there must be plans to ensure that State Government can operate under exceptional circumstances. Therefore, Executive branch departments must deploy plans to ensure staffing and provisions of essential services to the public during severe weather or emergency closings."*

1.4 **Scope**

The scope of the LDRPS Management Group includes all initiatives developed and monitored by the core support team. These initiatives are funded by the respective member agencies, and will include all activities required to ensure statewide implementation of this software is consistent and thorough in building and maintaining agency-level continuity plans.

Currently, member agencies incur no monetary expenses for use of LDRPS, nor for the hardware utilized. The sole financial responsibility is for staff time and related expenses, unless a system enhancement becomes necessary. Member agencies may also be asked to pay an administrative cost for any customized reports they wish to have designed for their agency's use. Additionally, the current number of concurrent licenses available for LDRPS is listed in the service level agreement (SLA). If a member agency desires to add additional licenses, or if the need to increase the number of licenses arises, member agencies may incur costs associated with that purchase, including support contract time from the vendor.

The primary scope of support of the LDRPS Management Group is to serve as a resource center for the following:

- Management and oversight of maintaining the contingency planning efforts of all participating organizations;
- Communications and training on 'best practices' for using LDRPS;
- Industry workgroup participation;
- Naming standards;
- Workgroup facilitation;
- Communication and collaboration with executive management.

1.5 LDRPS Management Group Objectives

In performing its mission, the LDRPS Management Group will:

- Develop and implement standards and processes for the group's initiatives and for the tools used to support the continuity effort;
- Provide 'best practices' to help all member agencies maximize the potential of LDRPS;
- Provide initial training and orientation to employees, plan owners, plan builders and administrators throughout the state organizations;
- Establish accurate and timely communication to all stakeholders;
- Assist with validation and verification of diligent response, recovery and resumption of continuity test plans;
- Help participating agencies work towards accountability within the LDRPS Management Group;
- Implement continuous development of quality continuity planning and emergency preparedness efforts.

1.6 LDRPS Capabilities

Capabilities of LDRPS include:

- The ability to notify plan owners via email when parts of their plan(s) become outdated;
- Automated imports of data (employee file, vendor lists, etc.);
- Easily change the format of the plan output (printed reports);
- Field-level security allows personnel to easily view the same plan, but not necessarily all of the information within;
- Internet accessible (for security measures in place, please see the LDRPS SLA);
- When viewing the online plan there is no doubt that it is the current plan.

1.7 Protection of Sensitive Security Information

The components of COOP/COG plans that inventory infrastructure, facilities, and systems; assess the criticality, vulnerability, and level of threat to these assets; and address mobilization, deployment, and tactical operations involved in responding to or protecting these assets are confidential when submitted to and/or held by the Homeland Security and Emergency Management (HLSEM) Division of the Iowa Department of Public Defense. These components may be considered part of the state's critical asset protection plan and, as such, shielded from public disclosure under the current terms of Iowa Code 22.7 (47).

1.8 Committee Overview

The goal of the LDRPS Management Group is to implement a comprehensive and effective means for State of Iowa agencies to manage their contingency planning efforts. Our purpose is to assist in the implementation, oversight and support of the continuous improvement and development of LDRPS. Roles and responsibilities of the organization are defined as follows:

1.8.1 The LDRPS Executive Sponsors

This team, consisting of the State of Iowa Chief Information Security Officer and the Chief Information Officer of the Department of Human Services (DHS), represents the enterprise's key stakeholders. They are ultimately responsible for promoting the benefits of the software to potential members of the LDRPS user community. The executive sponsors will also arrange in assisting other Iowa agencies achieve compliance within the required, mandated timeframes of their contingency planning processes.

In addition to being the LDRPS Management Group's final authority, other key responsibilities include:

- Work toward complete enterprise support for contingency planning compliance activities using LDRPS;
- Support and promote LDRPS by increasing the number of participating agencies;
- Provide support and commitment to the core support team for LDRPS standards and naming conventions;
- Provide final approval of the LDRPS Management Group's charter.

1.8.2 Steering Committee

This committee consists of representatives from no more than seven member agencies selected from the LDRPS user community, with an effort to ensure broad representation and participation. Standing members of the steering committee will be:

- DHS;
- HLSEM;
- The Department of Administrative Services (DAS).

The remaining positions will be filled as additional agencies sign until the maximum number of positions is reached. These are rotating positions, with guidelines for equal representation to be determined.

Duties of the steering committee will include, but are not limited to:

- Setting the direction of the LDRPS Management Group;
- Provide guidance for the core support team;
- Mediate disagreements between members of the core support team should they arise;
- Provide approval for major scope, change, and issue management items;
- Act as the final authority on determining 'proper' use of LDRPS.

1.8.3 Core Support Team

This team is made up of one (1) member from each participating agency, and is responsible for making recommendations on standards and naming conventions, as well as any major changes to the overall continuity of the software tool and structure of the plans.

Each member agency will provide a point-of-contact (POC) to serve as a representative participant to the core support team. It is encouraged, although not necessary, that the agency POC for COOP/COG also be the POC for LDRPS representation. In order to ensure the tool continues to function in the best interest of the majority of member agencies, active participation amongst the core support team is highly encouraged.

The LDRPS Management Group recognizes that it may be logistically impossible for each member agency to provide a representative to participate as a member of the core support team. This will not preclude an agency from access to, or use of, LDRPS; however, it is up to the core support team to decide whether changes are appropriate and represent the best interest of the group as a whole. The core support team will also function as the change control board, overseeing configuration management and versioning control, documenting changes to the software.

The participating representative from DAS will function as the LDRPS configuration manager, making changes to LDRPS in a test environment, ensuring changes made will allow the tool to continue functioning in accordance with the LDRPS Management Group's SLA.

1.8.4 Member Agency Staff Participants

The following roles have been identified as the 'key responsibilities' on which building an effective, comprehensive plan is incumbent. Dependant on the resources a member agency is willing to allocate to their contingency planning efforts, staff may be asked to serve in several roles as best fits their agency's needs and the needs of the LDRPS Management Group.

1.8.4.1 Plan Builders

This role consists of LDRPS users who are assigned by their agencies to gather data, and update and print plans.

1.8.4.2 Plan Auditor

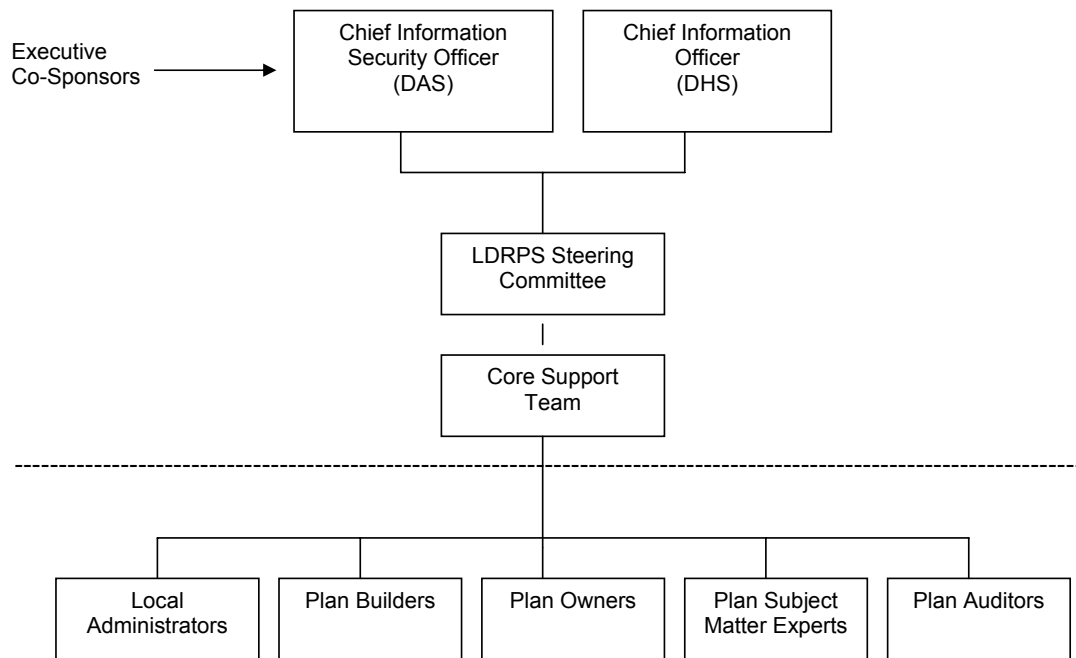
This role can be assigned to any LDRPS user who has access to their agency's plan(s). Plan auditors typically review the plan(s) to verify completeness and accuracy. They also have the ability to print the plan.

1.8.4.3 Plan Owners

The plan owner(s) are management representatives from each agency who are ultimately responsible for ensuring the completeness of their contingency plan(s). This includes updates and changes to the employees, teams, processes, vital records, and all other items needed for compliance. This position also assumes the overall responsibility for their plan's compliance.

1.8.4.4 Plan Subject Matter Experts

This position is the subject matter expert (SME) for their assigned plan. The SME is responsible for knowing the business processes and system needs for their assigned plan(s). They are the individuals responsible for ensuring all components of the plan meet or exceed the contingency planning requirements of their agency.

1.9 LDRPS Management Group Organization**Development of Continuity Plans using the LDRPS**

2 Management Group Specifics

2.1 Focus Area Analysis

The LDRPS Management Group has identified several focus areas that will be implemented in order to help work towards achieving the identified objectives. Each focus area contains components, implementation considerations, deliverables, and system assurance descriptions. Additional focus areas may be added as the scope and/or maturity of the LDRPS Management Group changes.

LDRPS Management Group Focus Areas			
1)	LDRPS team organization and facilitation	2)	LDRPS standards and process development
3)	Training, mentoring and continuous development	4)	Plan development and validation
5)	Plan status reporting and communication	6)	Plan scope and change control support
7)	Plan reviews	8)	Plan management assistance
9)	Resource management support	10)	Budget and financial analysis as it relates to the BCP software tools.
11)	Plan assurance	12)	Independent plan audits for compliance
13)	Plan issues analysis and management		

2.2 Infrastructure

For efficient implementation of the LDRPS Management Group's focus areas, an efficient and effective infrastructure must be established to assist and provide the group with the necessary support components. Highly desired infrastructure items include the following:

- The LDRPS Management Group must have an executive sponsoring group to provide guidance and authority to address critical issues related to the group.
- The LRDPS Management Group must be properly staffed with both contingency planning process and requirements resources, and LDRPS experienced resources, from each organization.
- The effort must be supported financially by senior management in each organization's own budgeting process area.
- Each organization must provide a POC to represent their department and actively participate on the core support team.

2.3 Rules of Operation

2.3.1 Goals

- Maximum participation of all members;
- Efficient and effective meetings: full attendance, punctuality, preparedness, and safety to share views/opinions.

2.3.2 Change Requests

All change requests will be forwarded to the core support team, which will review, approve, or reject them. In the event a change request is rejected, it will be returned to the submitting participant for reconsideration.

2.3.3 Communication Plan

The core support team will coordinate the overall communication plan to prevent any gaps. A formal communication plan should be developed to provide the appropriate communication throughout the LDRPS Management Group process.

2.3.4 Meeting Procedures

Regular meetings should be scheduled in advance. If a conference call setup is required, all arrangements should be made at least 48 hours in advance. A participant should be assigned to be in the physical meeting location at least five minutes early (if possible) to dial-in as the moderator and assure the pass-codes are in proper working order.

2.3.4.1 Agendas

Agendas shall be required for all meetings, and need to be distributed, along with any handouts, to participants in advance of the meeting.

The last five minutes of each meeting are to be dedicated to identifying new agenda items and 'to do' items which should be recorded on the agenda document.

2.3.4.2 Minutes

A scribe will be assigned by the meeting coordinator, and will be responsible for transcribing minutes for the meeting and distributing them, along with any handouts or additional information, to the meeting participants.

2.3.5 Voting

The steering committee is charged with approving requested changes to LDRPS. The committee will review change requests as submitted from members of the core support team, and vote to approve or return requests to the submitting member for further clarification or alteration. In the absence of consensus, majority rules.

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A quorum of five (5) voting members is needed to take action on a change request. Should the steering committee not be filled to its capacity at seven members, and a majority vote cannot be reached, issues needing to be resolved will be sent to the executive sponsors for final arbitration.

Proxy voting via email is allowed. Failure to respond to a confirmed email vote request will result in a 'Yay' vote.

2.4 Organizational Interfaces

The procedure for adding other organizations to the LDRPS Management Group structure is as follows:

- **Executive sponsors** – Team members remain the same, and provide help to the new agency's POC in understanding their agency's role.
- **Core support team** – Each participating agency will be asked to name one (1) representative to the core support team, in order to represent their agency in matters of change request recommendations, standards, and naming conventions. Active participation in the core support team is highly encouraged, as this agency member will be the POC with the LDRPS Management group, and therefore other agency members. The core support team members are expected to meet/conference on a quarterly basis to communicate changes and revisions to LDRPS.
- **Plan builders, plan owners, and plan subject matter experts** – These three groups are determined by the new agency and work directly with the agency POC named to the core support team.
- **LDRPS administrators** – Members will remain the same.
- **Plan auditor** – Members will remain the same.
- **Steering committee** – Comprised of seven members, including four rotating positions.

The LDRPS Management group recognizes that problems may arise when adding a new agency. The current plan elements may not fit the new agency's way of operating. A procedure for resolving these issues will need to be designed with the participation of the core support team and the LDRPS Management Group's steering committee. The LDRPS configuration manager will be responsible for documenting changes made to the tool, as well as putting changes through in the test environment in order to maintain the SLA.

The available software licenses have been purchased by DHS and DAS. When additional agencies are added, the cost of obtaining additional licenses will be negotiated with existing license holders. Using an enterprise approach to obtaining licenses will ensure the lowest possible prices for all participating organizations. This approach has been used with great success in purchasing many software licenses with JCIO organizations.

Organizations who become members of the LDRPS Management Group structure will be expected to participate in exercises of the plan to test effectiveness of the plan and determine if changes or enhancements are necessary.

3 Performance Measures

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3.1 ***Continuous Process Improvement***

The LDRPS Management Group's steering committee recognizes the importance of having a quality identification and feedback process to assure continuous process improvement in the automation of statewide contingency planning. Several mechanisms will be used to identify process improvement opportunities:

- 1) During the initial development of the contingency planning processes, every effort will be taken to integrate industry 'best practices' when those practices are deemed appropriate by the LDRPS Management Group.
- 2) Participating organizations will be asked to provide a representative to participate as a member of the core support team, where technical issues and other concerns will be regularly discussed.
- 3) All organizational members of the LDRPS Management Group can present issues and/or change recommendations to the core support team for process/product improvement efforts.
- 4) All participating members will work toward the common goal of continuing to improve the functionality and usability of LDRPS for building continuity plans for organizations within the LDRPS Management Group.

4 Addendums

4.1 Addendum 1: Management Group Goals

- Protect statewide contingency planning information;
- Simplify the COOP/COG maintenance process;
- Provide the ability for comprehensive enterprise wide resource planning.

4.2 Addendum 2: Change Request Process

The following provides a detailed process to follow if a change to LDRPS is requested or required by participating agencies.

1. A change request (CR) will be the vehicle for communicating change. The CR must describe the change, the rationale for the change, and the effect the change will have on the continuity of LDRPS. The sponsoring agency or agencies must fill out a CR in electronic format, and then forward the completed form on to the steering committee for review. The steering committee shall review the requested changes and shall respond to the requestor within two weeks of the date of the request by:
 - a. Rejecting the request – rationale for why the request was rejected will be sent to the requestor.
 - b. Accepting the request in a modified form – the full text of the modified changes will be sent to the requestor, along with an explanation of why the changes were modified.
 - c. Accepting the request as written.
2. The steering committee will review the proposed change and approve it or address and resolve any concerns with the requestor. If the change is authorized, the steering committee will sign the CR, which will constitute approval for the change. The change will then be implemented in the test environment. Once confirmed the change can be made without impacting the usability of the software for all organizations, it will be implemented into production.
3. If the requested change cannot be agreed upon and approved by the steering committee, the CR will be escalated to the executive sponsors for approval or rejection.

The parties agree that at any time during the term of this agreement, appropriate changes, lead-time, and change control procedures will apply.

Agreed & Accepted	DAS: _____ Date: _____ Executive Co-Sponsor
	DHS: _____ Date: _____ Executive Co-Sponsor
	New Organization: _____ Date: _____ 'Organization', Title
	DAS-ITE: _____ Date: _____ DAS-ITE Chief Operating Officer

4.2.1 Change Request Form

Organization
Name:

Urgency:

Justification	Originator:		Change requested by:		Date requested:	
	Description of Change Requested:					
	Reason for Change:					
	Proposed Approach to Resolve:					
Impact			Impact of Proposed Change(s)			
	Impact on Software					
	Impact on Staffing Effort					
	Impact on Spending					
	Other					
Approvals to Proceed:						
Originator/Date		Core Support Team//Date		Steering Committee/Date		Co-Sponsor/Date